



DEPARTMENT OF THE TREASURY  
INTERNAL REVENUE SERVICE  
WASHINGTON, D.C. 20224

NOV 20 2003

MEMORANDUM FOR COLLEEN LEIGHTY, DIRECTOR,  
END USER EQUIPMENT & SERVICE

FROM: Maya A. Bernstein  
Privacy Advocate

A handwritten signature in blue ink, appearing to read "Maya Bernstein", is written over the printed name and title.

SUBJECT: End User Equipment & Services  
Privacy Impact Assessment

The Office of the Privacy Advocate has reviewed the Privacy Impact Assessment for the End User Equipment & Services project (EUES). Based on the information you provided, our office does not have any privacy concern that would preclude EUES from operating. However, a revised PIA is required when considering any future upgrades or major modifications, or at the scheduled recertification of this system.

We will forward a copy of the PIA to the Director, Modernization and System Security, to be included in the Certification and Accreditation package for formal acceptance and operation. That office may request information concerning the statements contained in the PIA to ascertain compliance with applicable security requirements. If you have any questions please contact me at 202-927-5170; or your staff may contact Gino Talbot at 202-622-2302.

14 August 2003

MEMORANDUM FOR MAYA A. BERNSTEIN  
Privacy Advocate

FROM: Colleen Leighty,  
Director, End User Equipment & Services M:I:EU

SUBJECT: Request for Privacy Impact Assessment (PIA) –  
End User Equipment & Services – Umbrella PIA for Work  
Processes

Purpose of the System: The End User Equipment & Services (EUES) – Umbrella PIA is being submitted for work processes completed within the EUES organization by EUES employees whose work assignments require interaction with automated data processing systems that process or store data subject to privacy controls. The automated data processing systems are owned by other organizational entities. The end user enterprise infrastructure, on which the applications and data reside, are owned by the EUES organization. PIAs for specific applications are the responsibility of the application owner.

This umbrella PIA covers EUES work processes identified in these product and services:

Provide End User Support: Provide End User Support Level 1 and Level 2 – work activities require access to IRS employee workstations/systems to resolve customer reported problems.

Maintain Enterprise Infrastructure – work activities require access to IRS employee workstations/systems to resolve customer reported problems or systemic processing problems.

Filing Season Support – work activity require maintenance and operation of ADP systems processing and storing taxpayer data.

We are also attaching a EUES – PIA listing which provides a consolidated list of the Work Processes and IT Systems that require a PIA and their associated status.

Name of Request Contact:

**Name:** Mary Cabbie

**Organization Name & Symbols:** RDIS:FM

**Mailing Address:** 4050 Alpha Rd Dallas TX 75244

**Phone Number (with area code):** 972-308-1704

Name of Business System Owner:

**Name:** Colleen Leighty

**Organization Name & Symbols:** EUES M:I:EU

**Mailing Address:** New Carrollton Federal Building  
5000 Ellin Road A6-412

**Phone Number (with area code):** 202-283-0864

Requested Operational Date: On-going Steady State Operation

Category: (Reason PIA is required--enter "y" or "n" and applicable dates)

New System?: Yes – due to E300 efforts need to document IT work processes where there is a potential for accessing data subject to privacy

Recertification? (if no change, enter date of last certification) No

Modification of existing system?: No

Is this a National Standard Application (NSA)?: No

Is this a Modernization Project or System? No

If yes, the current milestone?:        (Enter 1-5; explain if combining milestones)

System of Record Number(s) (SORN) #: (coordination is required with Office of Disclosure--contact David Silverman, 202-622-3607)

The CL:GLD Office concurs that this system is covered by the listed SORNs

Treasury/IRS 34.037 IRS Audit Trail and Security Records System –Treasury .009

Attachment: PIA

This is an umbrella PIA for work processes that occur in EUES organization that could require EUES employees to access ADP systems (workstations or servers) that store and/or process taxpayer data.

**I. Data in the System**

1. Describe the information (data elements and fields) available in the system in the following categories:	See below (1a through 1d)
1.a. Taxpayer:	NONE
1.b. Employee: (indicate whether the records relate to the employee as "subject" (i.e., personnel records or when the "taxpayer" is an employee); or employees performing their duties by using the system).	The EUES uses the OL5081 application to establish access to necessary support staff to perform end user services.
1.c. Audit Trail Information	NONE
1.d. Other:	Not applicable
2. Describe/identify which data elements are obtained from files, databases, individuals, or any other sources.	Not Applicable - Data elements do not apply for support staff to assist end users of the supported systems.
2.a. IRS	Not Applicable
2.b. Taxpayer	Not Applicable
2.c. Employee	Employee data is captured from the OL5081 to grant access for support purposes.
2.d. Other Federal agencies (list)	Not Applicable
2.e. What State and Local Agencies are providing data for use in the system?	Not Applicable – There is no state/local agencies providing data for use in this work process.
2.f. From what other third party sources will data be collected?	Not Applicable - There is no third party data in this system.
3. Is each data item required for the business purpose of the system? Explain.	Yes – The information is captured to assure the end user service is performed in a professional and timely manner.

4. How will each data item be verified for accuracy, timeliness, and completeness?	A help desk ticket is generated by end user interaction with the system or can be systemically generated by system monitors; the help desk ticket is used to report, track service progress as well as report the general health of IRS systems by statistical analysis of persistent software & hardware problems.
5. Is there another source for the data? Explain how that source is or is not used.	Not Applicable
6. How will the data generally be retrieved by the user?	Trouble Tickets, as they are generated either by the On-Line Employee Resource Center (ERC), or by phone, are assigned a unique "Trouble Ticket Number". The assigned number follows the Ticket to the technician and is posted in the ERC for the requester. The Trouble ticket information is retrievable by the requester by going to the ERC or phoning in a request for status. And the technician can retrieve the ticket by the number assign and its attachment to his name.
7. Is the data retrievable by a personal identifier such as name, SSN, or other unique identifier?	No Data in the system is retrievable by general name and assigned tracking capabilities, e.g. unique trouble ticket numbers.
NOTE: If your answers to Section I indicate that the system does not collect, store, or process privacy protected data, then the PIA is complete. Otherwise, if your answers indicate that the system does handle privacy-protected data, complete the remaining questions.	

## II. Access to the Data

8. Who will have access to the data in the system (Users, Managers, System Administrators, Developers, Others)?	<p><b>Users</b> in this system are the general support staff that access the information in the system to determine the best and most efficient method to fix IT problems.</p> <p><b>Managers</b> Will use the system to determine the timeliness and efficiency of actions to resolve end-user IT problems.</p> <p><b>System Administrators</b> for this system will maintain the access capabilities of the system. The administrative staff will maintain the lists of personnel that are authorized to perform the work and the general information on IRS employees that will receive service along with their general IT information, (e.g. their location, types of equipment, etc.).</p>
9. How is access to the data by a user determined and by whom?	General Access Control to the EUES system will be governed by the OL5081 system, where managers decide and assign privileges to individual users – determined by their need-to-know & need to access IRS assets.
10. Do other IRS systems provide, receive, or share data in the system? If YES, list the system(s) and describe which data is shared. If NO, continue to Question 12.	No other systems supply information to the EUES. Information is provided by the Employee Resource Center On-Line capabilities.
11. Have the IRS systems	Not applicable.

described in Item 10 received an approved Security Certification and Privacy Impact Assessment?				
12. Will other agencies provide, receive, or share data in any form with this system?	No			

### III. Administrative Controls of the Data

13. What are the procedures for eliminating the data at the end of the retention period?	<p>EUES data will not be retained in the system, except as noted in item 4 above.</p> <p><b>IRM 2.10 Archive Process</b></p> <ol style="list-style-type: none"> <li>(1) In an effort to manage the Problem Management (PM) database size and continue to have access to all data for analysis purposes, history pages of problem tickets closed for thirty (30) days will be archived monthly.</li> <li>(2) Data is moved to tape based on a fiscal year basis (10-1 through 9-30) to coincide with other business reporting practices.</li> <li>(3) Call and Problem ticket data can be queried on-line for 2 years. This excludes the capability to view a ticket page by page but still includes the entire ticket in a summary format.</li> <li>(4) The entire problem summary of the ticket will be available for retrieval from the archives for up to six (6) years and available as needed with a request being generated to the appropriate Assignment Group to retrieve and load the tape.</li> <li>(5) Internal ITAMS SC email is deleted after 30 days</li> <li>(6) ITAMS customers are responsible for requesting an archived problem ticket via their local Enterprise service desk. The Enterprise service desk will open an ITAMS customer request ticket following the Probe and Response.</li> </ol>
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14. Will this system use technology in a new way? If "YES" describe. If "NO" go to Question 15.	No	
15. Will this system be used to identify or locate individuals or groups? If so, describe the business purpose for this capability.	No	
16. Will this system provide the capability to monitor individuals or groups? If yes, describe the business purpose for this capability and the controls established to prevent unauthorized monitoring.	No	
17. Can use of the system allow IRS to treat taxpayers, employees, or others, differently? Explain.	No	
18. Does the system ensure "due process" by allowing affected parties to respond to any negative determination, prior to final action?	Not applicable.	
19. If the system is web-based, does it use persistent cookies or other tracking devices to identify web visitors?	Not applicable	